



CA Department of Corporations **Investment Adviser Education Seminar** Wednesday, April 23, 2008

The California Department of Corporations invites you to a free Investment Adviser Education Seminar.

Date: Wednesday, April 23, 2008
Time: 1:00 pm to 5:00 pm
(Registration begins at 12:30 pm)
Location: Town and Country Resort & Convention Center
500 Hotel Circle North
San Diego, CA 92108

The Seminar will provide detailed information to help you gain a better understanding of key objectives.

Topics to be covered include:

- Form ADV, Form U4, Form U5, and Registration Requirements.
- Books & Records and Retention Requirements.
- ADV and Annual Reporting Requirements.
- Overview of the Examination Process.
- Administrative Actions and Penalties.
- Proposed California regulatory changes including Custody, Advertising, Cash Solicitation, Unethical Practices, Conflicts of Interest and Books & Records.

SEATS ARE LIMITED, so please **RSVP by Wednesday, April 9, 2008** via e-mail to RAE@corp.ca.gov or via telephone to Santiago Laya at (213) 576-7649.

Please include the following information in your RSVP:

- Firm Name
- Name of Attendee(s)
- IARD No.
- E-mail Address

Confirmations will be sent via e-mail and will include directions to the seminar location.